

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <i>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</i>	Attorney Docket No.	SP02-275	Total Pages	2
	First Named Inventor or Application Identifier: Bhagavatula et al.			
	Title : SMALL MODE-FIELD FIBER LENS			
	Express Mail Label No.	EV 327189657 US		

**CERTIFICATE OF EXPRESS MAIL UNDER 37 CFR 1.10:**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is Addressed to Mail Stop Patent Application, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450

on 10-31-03

(Date)

Signature

Colleen E. Doherty  
Colleen E. Doherty

"EXPRESS MAIL" Mailing Label No. EV 327189657 US

**ADDRESS TO:**

Mail Stop Patent Application  
Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

22141 U.S. PTO  
10/699450  
103103

1. <input checked="" type="checkbox"/> * Fee Transmittal Form (Submit an original and a duplicate for fee processing)	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification (preferred arrangement set forth below) [Total Pages] <u>23</u>	6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- Descriptive title of the invention	a. <input type="checkbox"/> Computer Readable Copy
- Cross References to Related Applications	b. <input type="checkbox"/> Paper Copy (identical to computer copy)
- Statement Regarding Fed sponsored R&D	c. <input type="checkbox"/> Statement verifying identity of above copies
- Reference to Microfiche Appendix	
- Background of the invention	
- Brief Summary of the invention	
- Brief Description of the Drawings (if filed)	
- Detailed Description	
- Claim(s)	
- Abstract of the Disclosure	
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. § 113) [Total Sheets] <u>8</u>	
4. Oath or Declaration [Total Pages] <u>      </u>	
a. <input checked="" type="checkbox"/> Executed (original or copy)	
b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)	
i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	

**ACCOMPANYING APPLICATION PARTS**

7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))	
8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee)	<input checked="" type="checkbox"/> Power of Attorney
9. <input type="checkbox"/> English Translation Document (if applicable)	
10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Copies of IDS Citations
11. <input type="checkbox"/> Preliminary Amendment	
12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (should be specifically itemized)	
14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	15. <input type="checkbox"/> Other:

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:  
☐ Continuation ☐ Divisional. ☐ Continuation-in-part (CIP) of prior application No  
 Prior application information: Examiner: Group / Art Unit:  
 For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label 22928 or ☐ Correspondence address below

NAME					
ADDRESS	Corning Incorporated, SP-TI-3-1				
CITY	Corning	STATE	NY	ZIP CODE	14831
COUNTRY	USA	TELEPHONE	607-974-3164	FAX	(607) 974-3848
Name (Print/Type)	Timothy M. Schaeberle			Registration No. (Attorney/Agent)	34,424
Signature	<u>Timothy M. Schaeberle</u>			Date	10/31/03

103103

# FEE TRANSMITTAL for FY 2003

## Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Bhagavatula et al.
Examiner Name	To Be Assigned
Group / Art Unit	To Be Assigned
Attorney Docket Number	SP02-275

**TOTAL AMOUNT OF PAYMENT (\$770.00)**

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

03-3325

Deposit  
Account  
Name

Corning Incorporated

- ☒ Charge Any Additional Fees Required  
Under 37 C.F.R. §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	Utility filing fee	770.00
1002	340	Design filing fee	
1003	530	Plant filing fee	
1004	770	Reissue filing fee	
1005	160	Provisional filing fee	
<b>SUBTOTAL (1)</b>			<b>(\$770.00)</b>

#### 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	20	- 20** = x 18 =	00.00
Independent Claims	3	- 3** = x 86 =	00.00
Multiple Dependent	0	=	0.00

\*\*or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Fee Description
1202	18	Claims in excess of 20
1201	86	Independent claims in excess of 3
1203	290	Multiple dependent claim, if not paid0
1204	86	** Reissue independent claims over original patent
1205	18	** Reissue claims in excess of 20 and over original patent

### FEE CALCULATION (continued)

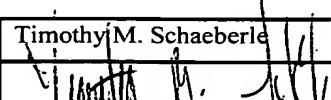
#### 3. ADDITIONAL FEES

Large Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	Surcharge - late filing fee or oath	
1052	50	Surcharge - late provisional filing fee or cover sheet	
1053	130	Non-English specification	
1812	2,520	For filing a request for reexamination	
1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840	Requesting publication of SIR after Examiner action	
1251	110	Extension for reply within first month	
1252	420	Extension for reply within second month	
1253	950	Extension for reply within third month	
1254	1,480	Extension for reply within fourth month	
1255	2,010	Extension for reply within fifth month	
1401	330	Notice of Appeal	
1402	330	Filing a brief in support of an appeal	
1403	290	Request for oral hearing	
1451	1,510	Petition to institute a public use proceeding	
1452	110	Petition to revive - unavoidable	
1453	1,330	Petition to revive - unintentional	
1501	1,330	Utility issue fee (or reissue)	
1502	480	Design issue fee	
1503	640	Plant issue fee	
1460	130	Petitions to the Commissioner	
1807	50	Petitions related to provisional applications	
1806	180	Submission of Information Disclosure Stmt	
8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	Filing a submission after final rejection (37 C.F.R. § 1.129(a))	
1810	770	For each additional invention to be examined (37 C.F.R § 1.129(b))	
1801	770	Request for Continued Examination (RCE)	
1802	900	Request for expedited examination of a design application	
<b>SUBTOTAL (3)</b>			<b>(\$)</b>

\*Reduced by Basic Filing Fee Paid

### SUBMITTED BY

### Completed (if applicable)

Name (Print/Type)	Timothy M. Schaeberle	Registration No. (Attorney/Agent)	34,424
Signature		Date	10/31/03

(U.S.)

Attorney Docket No.: SP02-275

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s):** Bhagavatula, et al  
**Serial No.:** To Be Assigned  
**Filed:** Herewith  
**For:** SMALL MODE-FIELD FIBER LENS

**COMBINED  
CERTIFICATE UNDER  
37 C.F.R. § 3.73(b)  
and  
POWER OF ATTORNEY**

Commissioner for Patents  
Alexandria, VA 22313

**CERTIFICATE UNDER 37 C.F.R. § 3.73(b)**

**CORNING INCORPORATED**, a New York corporation, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventor(s) of the patent application identified above. A true copy of the unrecorded Assignment is attached hereto.

The undersigned has reviewed the above referenced assignment of the patent application identified above and, to the best of the undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.